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JC10R PCT/PTO 22 JAN 2002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Stuart A. KAUFFMAN *et al.*

U.S. Application No.: 09/868,981
U.S. Application Filing Date: June 22, 2001

Group Art Unit: To be assigned

International Application No.: PCT/US99/30640
International Application Filing Date:
December 22, 1999

Examiner: To be assigned

For: A SYSTEM AND METHOD FOR THE
ANALYSIS AND PREDICTION OF
ECONOMIC MARKETS

Attorney Docket No.: 9392-016-999

RESPONSE TO NOTIFICATION OF DEFECTIVE RESPONSE

RECEIVED

Assistant Commissioner for Patents
Washington, D.C. 20231

15 MAR 2002

Legal Staff
International Division

Sir:

In response to the Notification of Defective Response mailed 12/19/2001,
Applicant encloses a Consent by the Assignee under 37 C.F.R. § 1.497(d) and a Statement of
Vince M. Darley under 37 C.F.R. § 1.497(d).

Applicant respectfully submits that the enclosed documents bring the
declaration of the above-identified U.S. application into conformance with 37 C.F.R. § 1.497
(d).

In accordance with 37 C.F.R. § 1.497 (d) and §1.17 (i) a processing fee of
\$130.00 is believed to be due for this submission. Please charge the required fee to Pennie &
Edmonds LLP Deposit Account No. 16-1150. A copy of this Petition is enclosed for
accounting purposes.

The Notification also indicated that additional claim fees are due. But
Applicant respectfully submits the proper fee has been paid.

Accordingly, Applicant respectfully submits that any defects in its Response to the Notification of Defective Response have been corrected.

Respectfully submitted,

Date

1/22/02

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Enclosures

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UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
 United States Patent and Trademark Office
 Washington, D.C. 20231
 www.uspto.gov



U.S. APPLICATION NUMBER NO.

09/868,981

FIRST NAMED APPLICANT

Stuart A Kaufman

ATTY. DOCKET NO

9392-016-999

INTERNATIONAL APPLICATION NO.

PCT/US99/30640

I.A. FILING DATE

12/22/1999

PRIORITY DATE

12/22/1998

Edmonds & Edmonds
 1667 K Street N W
 Washington, DC 20006

CONFIRMATION NO. 6805

371 FORMALITIES LETTER



OC000000007206144

Date Mailed: 12/19/2001

NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee
- Priority Document
- Copy of IPE Report
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Request for Immediate Examination

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended up to a maximum of six months.

Additionally the following defects have been observed:

- Additional claim fees of \$60 as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$60 for a Large Entity:

- Total additional claim fee(s) for this application is \$60
 - \$60 for 15 independent claims over 3.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

CHARITTA A BURT

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PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/868,981	PCT/US99/30640	9392-016-999